

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A. POINTS OF CONTACT

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B. REQUIRED FORMS

All Applicants must submit the application using the SF-424 series, which includes the:

- **SF-424, Application for Federal Assistance**
 - **SF-424A, Budget Information - Nonconstruction Programs,**
 - **SF-424B, Assurances - Nonconstruction Programs,**
- SF-424, Application for Federal Assistance at:
http://www.grants.gov/agencies/aapproved_standard_forms.jsp
 - SF-424A, Budget Information – Non-construction Programs at:
<http://www.grants.gov/techlib/SF424A-V1.0.pdf>
 - SF-424B, Assurances – Non-construction Programs at:
<http://www.grants.gov/techlib/SF424B.PDF>

The program described in Section I above includes non-construction elements. Therefore, these mandatory forms for non-construction programs must be completed. Costs to non-construction activities should be included on the SF-424A. Copies of these forms may be found as an attachment to this RFA.

C. PRE-AWARD CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF THE RECIPIENT

In addition to the certifications that are included in the SF 424, non-U.S. organizations (except as specified below) must provide the following certifications, assurances and other statements. Complete copies of these Certifications, Assurances, and Other Statements may be found as an attachment to this RFA.

1. For U.S. organizations, a signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs. This certification applies to Non-US organizations if any part of the program will be undertaken in the United States.
2. A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see 22 CFR 227);

3. A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference AAPD 04-14;
4. Survey on Ensuring Equal Opportunity for Applicants; and
5. **All applicants must provide a Data Universal Numbering System (DUNS) Number.** DUNS number is a nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by internet at www.dnb.com.
 - access the web page: <http://www.dnb.com>;
 - click on D&B D-U-N-S Number;
 - click on “Are you a government contractor, vendor, or grant recipient?”;
 - click on “Click here to request your D-U-N-S Number via the web”;
 - Follow the instructions. Questions should be directed to Dun and Bradstreet.
6. **All applicants must be registered in Central Contractor Registration (CCR) unless exempt under 2 CFR 25.110.** Central Contractor Registration (CCR) is the U.S. Government Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>). See Attachment 3 entitled
7. Organizations that apply and do not have an exception must ensure they have the necessary processes and systems in place to comply with the reporting requirements of 2 CFR 170 should they receive funding. See Attachment 4 entitled "Reporting Subawards and Executive Compensation"

D. APPLICATION FORMAT GUIDELINES AND ASSUMPTIONS

For the purposes of this RFA, the term “applicant” is used to refer to the prime. The application received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Applications that are incomplete or not directly responsive to the terms, conditions, specifications, and clauses of this RFA may be categorized as non-responsive and eliminated from further consideration.

The application shall be submitted electronically in two separate volumes: (a) technical and (b) cost or business application. Technical portion of the application should be submitted in one original and cost portions of application in one original. The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date indicated as the dateline for the submission of applications in this RFA, to the location indicated on the cover letter accompanying this RFA.

Applications shall be prepared in English. Applications in any other language shall be treated as non-responsive and eliminated from further consideration.

Technical application should be specific, complete, and concise. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program.

Applicant should retain for its records one copy of the application and all enclosures that accompany their application. Erasures or other changes must be initialed by the person signing the application.

1. Technical Application Format

The Technical Application shall contain the following sections: (1) a Cover Page; (1) an Application Summary; (3) a Program Narrative; (4) an Implementation Plan; and (5) Annexes (Resumes & Letters of Commitment). Page limitations are specified below for each section; applications must be on Letter size 8-1/2 by 11 inch paper, (210mm by 297mm paper), single-spaced, 12-point type or larger, and have at least one inch margins on the top, bottom, and both sides.

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets ____; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

Cover Page: A single page with the names of the organizations/institutions involved in the proposed application, with the lead or primary applicant clearly identified. In addition, the Cover Page should include information about a contact person for the prime applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, e-mail address, and telephone and fax numbers. Also state whether the contact person is the person with authority to contract for the applicant, and if not, that person should also be listed. This does not count against the page total for technical application.

Application Summary: A two page maximum brief description of proposed activities, goals, purposes, and anticipated results. Briefly describe technical and managerial resources of your organization. Describe how the overall program will be managed. State the bottom line funding request from USAID and the bottom line funding secured from other sources (state sources and amounts) for the proposed program. This does not count against the page total for technical application.

Technical Application Body

The Technical Application Body will contain the main parts of the technical application and shall include the following sections:

- a. Organizational Capacity
- b. Technical Approach
- c. Monitoring, Evaluation & Sustainability
- d. Cost Effectiveness
- e. Construction Capacity

In each Section, the applicant should address considerations related to and provide all of the information necessary for USAID to effectively and fairly evaluate the criterion as specified in Section 4.A.1 below. Each Section should include the sub-sections as addressed in Section 4.A.1 below

The maximum number of pages in this Section will be fifteen (15) pages. The basic purpose of this Section is to provide the information necessary to allow USAID to fairly and completely evaluate the applicant under each of the evaluation criteria specified in Section V of this RFA. Additional specified guidance for each Section of the Technical Application Body is set forth below.

The technical description should also identify partnerships with local and U.S. (if applicable) organizations, their specific involvement in the proposed activities, operational arrangements for collaboration and potential cost sharing. Governance and administrative arrangements should be clearly presented including: management approach to the overall execution of the activities; organizational structure; administrative arrangements; logistical support; key personnel involved and corresponding roles and responsibilities.

Additional instructions:

Past Performance under Organizational Capacity

The Applicant shall identify (briefly, with details in the Annex) its three (3) most recent and fully completed contracts or agreements that involve some of the activities described in Section I above and whose value exceeded \$5 million. In addition, the Applicant may identify (briefly, with details in the Annex) up to five (5) additional contracts or agreements related to the activities described in Section I for the prime and up to three (3) for each proposed sub-contractor/sub-recipient or other proposed partner, if any.

Also in the Annex, the Applicant shall include one information sheet for each such contract or agreement. The information sheets shall include all of the following information:

1. The identity of the entity involved (e.g. the Applicant, a major subcontractor or major sub-recipient);

2. A description of the project's scope, magnitude and period of performance;
3. Location of the project;
4. Details as to the Applicant's (or that of a major subcontractor or sub-recipient) role and activities during the project;
5. Discussions of accomplishments as well as engineering, management or other challenges associated with completion of the project and what the Applicant did to overcome the challenges
6. Contact information (names, telephone numbers, email addresses, etc.) for the entity that funded the program or contract. Names and contact information should be provided for both technical and contracting/grant administration personnel, preferably for personnel who directly oversaw the program or contract.

Please note that it is applicant's responsibility to provide the above requested past performance reference contact information that is accurate and up to date.

Implementation Plan: In three pages or less please provide a project implementation plan (chart) as an annex including main activities of the project. List on the vertical axis the activities, and on the horizontal axis the following information: (a) name of implementer(s); and (b) time frame, noting estimated dates of completion. Indicate when the proposed program will be fully operational. This not count against the page total for technical application.

In addition to the narrative described above, the application should include as annexes:

- A draft letter of intent from resource partners, if applicable
- Requested due diligence information on resource partners, if applicable
- Curriculum Vitae for key personnel
- Corporate References

The annexes may also include relevant information about alliance partners. This can include documentation of intent to participate by other partners. **Please note excessive documentation submitted under the annexes is neither necessary nor wanted.**

Construction Capacity

In the Annex, the applicant should provide an information sheet for five (5) projects that include a construction component similar to the construction described in this RFA that they have completed. If the applicant has not had five construction projects, it should so state and list as many as they have completed, if any.

For each construction project listed, please provide the following information:

- Contract, Order or other identifying number;
- Agency or entity providing the contract or funding;
- Description of the scope of work, including, but not limited to a brief discussion of the complexity/diversity of tasks;
- Primary location(s) of work;
- Term of performance;
- Discussions of accomplishments as well as engineering, management or other challenges

associated with completion of the project and what the Applicant did to overcome the challenges

- Details as to the Applicant's (or that of a major subcontractor or sub-recipient) role and activities during the project;
- Contact information (names, telephone numbers, email addresses, etc.) for the entity that funded the program or contract. Names and contact information should be provided for both technical and contracting/grant administration personnel, preferably for personnel who directly oversaw the program or contract.

2. Cost/Business Application Format

The Cost/Business Application is to be submitted separately from the technical application. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary details. The Cost Application must be completely separate from the applicant's Technical Application. The application must include completed SF-424 forms which can be downloaded from the USAID web site listed above. Additional information:

- a. The cost application should be for a period of 60 months.
- b. Applicants should assume notification of an award approximately sixty (60) days after the date established as a deadline for receipt of applications.
- c. An overall budget should be included in the Cost/Business Application that provides, in detail to the individual line item, a breakdown of the types of costs anticipated. The types of costs should be organized based on the cost categories in the SF-424 budgets. All budgets shall include a sheet relating to the entire 60-month period. The budget shall include a summary and breakdown of the costs allocated to any sub-recipient or sub-contractor involved in the program (unless the agreement or contract is on a fixed-amount basis), as well as the breakdown of the financial and in-kind contributions of all such organizations (the applicant can also include separate sub-agreement or subcontract budgets for the sake of clarity). The electronic version of the budgets should be provided in the **unprotected** Microsoft Excel format.
- d. Budget notes are required. These budget notes must provide an accompanying narrative by line item which explains in detail the basis for how the individual line item costs were derived.
- e. The following Section provides guidance on line item costs.

Salary and Wages - Direct salaries and wages should be proposed in accordance with the organization's personnel policies. Details on the basis of estimate for each proposed salary should be sufficiently addressed in the budget narratives for all positions [key, consultants, and non-key personnel]. Any proposed salary increase [initial or annual] must be sufficiently justified and supported with the organization's personnel policies.

Fringe Benefits - If the organization has a fringe benefit rate that has been approved by an agency of the Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (*e.g.*, unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

Travel and Transportation - The application should indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. *Per diem* should be based on the applicant's normal travel policies; (applicants may however choose to refer to the Federal Standardized Travel Regulations for cost estimates).

Other Direct Costs - This includes communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment (procurement plan for commodities), office rent abroad, branding/marketing supplies, etc. The narrative should provide a breakdown and support for all and each other direct costs.

Indirect Costs –Local/ regional or other organizations that do not have a Negotiated Indirect Cost Rate Agreement (NICRA) letter with the US Government, these organizations should treat all indirect costs as direct costs and provide a fully-developed and supported rationale for allocating or estimating how much of the indirect costs should be allocated to the program.

Seminars and Conferences - The application should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.

Foreign Government Delegations to International Conferences: Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences or as approved by the AOTR [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>].

Source and Origin Requirements - The authorized Geographic Code for this Agreement will be 935.

Training Costs - If there are any training costs to be charged to this Agreement, they must be clearly identified.

- f. In the case of an application where the entity receiving the award is a joint venture, partnership or some other type of group where the proposed applicant is not a legal entity, the Cost Application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of

the relationship between the applicant and its partners, including identification of the applicant with which USAID will directly engage for purposes of Agreement administration, the identity of the applicant which will have accounting responsibility, how Agreement effort will be allocated and the express Agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

- g. The required Certifications, including the SF 424s, should be included with the Cost Application.
- h. As written above, the proposed budget should provide separate cost estimates for the management of the program (including program monitoring). Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.
- i. The cost/business portion of the application should describe headquarters and field procedures for financial reporting. Discuss the management information procedure you will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial and related program reporting procedures.
- j. Indicate if financial commitments were made among partners during the preparation of the application. Budgets shall indicate the amounts committed to each member of the team. Letters of commitments from partners should be included.
- k. If requested by USAID after submission of applications, please provide information on the Applicant's financial and management status, or that of major subcontractors and sub-recipients, including:
 - l. Audited financial statements for the past three years,
 - m. Organization chart, by-laws, constitution, and articles of incorporation, if applicable,
 - n. If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the applicant should submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.
 - o. If applicable, approval of the organization's accounting system by a U. S. Government agency including the name, addresses, and telephone number of the cognizant auditor.
- p. The Cost/Business Application should also address the applicant's resources and capacity in the following areas in narrative form:
- q. Have adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement;
 - (a) Has the ability to comply with the agreement conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental;

- (b) Has a satisfactory record of performance (only a brief discussion of this issue is required in the cost/business application since past performance is an evaluation factor – the applicant may wish to discuss any notable issues re its record of performance that were not discussed in the technical application);
- (c) Has a satisfactory record of integrity and business ethics; and
- (d) Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

If requested by USAID after submission of applications, please provide any additional evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility. Please note that a positive responsibility determination is a requirement for award, and all organizations shall be subject to a pre-award survey to verify the information provided and substantiate the determination.

- Cost Sharing: Cost sharing is not required for this award.
- Unnecessarily elaborate applications: unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

E. SUBMISSION DEADLINES

Applications shall be due at the time and date stated on the cover page of this RFA. USAID will determine that any proposals that are not received by the Agreement Officer by one of the methods specified below by the time and date indicated will be late. Because making an award is critical to USG foreign policy goals, time is important and late applications may not, at the sole discretion of the Agreement Officer, be considered.

F. FUNDING RESTRICTIONS

There are no funding restrictions applicable to this RFA at this time.

G. GENERAL INSTRUCTIONS

USAID will accept applications from the qualified entities as defined in Section III of this RFA. The Applicant should follow the instructions set forth herein. If an applicant does not follow the instructions, the Applicant's proposal may be down-graded and may not receive full credit under the applicable evaluation factors, or, at the discretion of the Agreement Officer, be eliminated from the competition. All applications received by the deadline will be reviewed against the evaluation factors in Section V.

The preferred delivery method is electronically via email with up to 10 attachments (3MB limit) per email compatible with MS WORD, and Excel environment to applications4@usaid.gov. The subject line of the email must state the RFA number. The Applicant is not required to, but may mail an original of both the technical application and cost application to the following address:

USAID/South Africa
Office of Acquisition and Assistance
Attn: Paul Vacik, Contract Specialist
P.O. Box 43
Groenkloof X5,
Pretoria 0027
SOUTH AFRICA

If the electronic submission is timely, the delivery of the courtesy hard copies are not required to arrive by the date and time specified for submission of applications stated above.

Alternatively, applications can be delivered by hand/courier to the following address:

USAID/Southern Africa
Office of Acquisition and Assistance
Attn: Paul Vacik, Contract Specialist
100 Totius St
Groenkloof, Pretoria
SOUTH AFRICA

If an applicant does not submit an application electronically, an original and two (2) copies each of the separate technical and cost applications must be provided to the address above.

Telegraphic or faxed applications are not authorized for this RFA and will not be accepted. Electronic submissions through the www.grants.gov website are acceptable. In order to use this method, an applicant must first register on line with grants.gov.

Consistent with ADS 303.3.6.7, Applications that are submitted late may be eliminated from the competition. If a late application is evaluated and considered for award, all similarly-situated late applications (in terms of time of receipt) will also be evaluated and considered for award.

H. BRANDING STRATEGY AND MARKING PLAN

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful applicant will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before a cooperative agreement will be awarded. These plans shall be prepared in accordance with the guidance in ADS 320.3.1.2, 22 CFR 226.91 and the references therein. Please note that the Branding Strategy and Marking Plan shall not be included with the original application but shall be provided only after a written request of the Agreement Officer.